PTO/SB/21 (09-06)
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TRANSMITTAL FORM

PTO APR 05 2007 IAP94 PATENT & TRADEMARK OFFICE

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number	09/718,500
Filing Date	November 24, 2000
First Named Inventor	DEMBO, Ron S.
Art Unit	3624
Examiner Name	Ella Colbert
Attorney Docket Number	11483-80

ENCLOSURES ***(check all that apply)***

- ☒ Fee Transmittal Form
  - ☒ Fee Attached
- ☐ Amendment / Reply
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☐ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Reply to Missing Parts/ Incomplete Application
  - ☐ Reply to Missing Parts under 37 CFR1.52 or 1.53
- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) _____
  - ☐ Landscape Table on CD
- ☐ After Allowance Communication to TC
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to TC **(Appeal Notice, Brief, Reply Brief)**
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) *(please identify below)*:

return receipt card; and
certificate of correction (2 copies)

Remarks

Certificate
APR 09 2007
of Correction

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm	Bereskin & Parr		
Signature			
Printed Name	Kendrick Lo		
Date	April 3, 2007	Reg. No.	54,948

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature			
Typed or printed name		Date	

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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PTO/SB/17 (07-06)
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APR 05 2007 IAP94 PTO & TRADEMARK OFFICE

Effective on 12/08/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL
For FY 2006

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 100.00

Complete if Known	
Application Number	09/718,500
Filing Date	November 24, 2000
First Named Inventor	DEMBO, Ron S.
Examiner Name	Ella Colbert
Art Unit	3624
Attorney Docket No.	11483-80

METHOD OF PAYMENT (check all that apply)

☑ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify): _____

☑ Deposit Account 8666 Deposit Account Number: _____ Deposit Account Name: _____

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, **except for the filing fee**

☑ Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 ☑ Credit any overpayments

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES Fee ($)	FILING FEES Small Entity Fee ($)	SEARCH FEES Fee ($)	SEARCH FEES Small Entity Fee ($)	EXAMINATION FEES Fee ($)	EXAMINATION FEES Small Entity Fee ($)	Fees Paid ($)
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description	Fee ($)	Small Entity Fee ($)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee ($)	Fee Paid ($)
_____ - 20 or HP =	_____	x _____	= _____

HP = highest number of total claims paid for, if greater than 20.

Indep. Claims	Extra Claims	Fee ($)	Fee Paid ($)
_____ - 3 or HP =	_____	x _____	= _____

HP = highest number of independent claims paid for, if greater than 3.

Multiple Dependent Claims Fee ($)	Multiple Dependent Claims Fee Paid ($)
_____	_____

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is $250 ($125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee ($)	Fee Paid ($)
_____ - 100 =	_____ / 50 =	_____ (round **up** to a whole number)	x _____	= _____

4. OTHER FEE(S)

	Fees Paid ($)
Non-English Specification, $130 fee (no small entity discount)	_____
Other (e.g., late filing surcharge): Certificate of Correction	100.00

SUBMITTED BY

Signature	[signature]	Registration No. (Attorney/Agent) 54,948	Telephone 416-957-1685
Name (Print/Type)	Kendrick Lo		Date April 4, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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APR 09 2007

Bereskin & Parr
INTELLECTUAL PROPERTY LAW

April 3, 2007

Kendrick Lo B.A.Sc. (Eng. Sci.), MBA, LL.B.
416 957 1685 klo@bereskinparr.com

Your Reference: 7,171,385
Our Reference: 11483-80

CERTIFICATE OF CORRECTION REQUEST

The Commissioner of Patents
P.O. Box 1450
Alexandria, Virginia
22313-1450, U.S.A.

Dear Sir:

Re: U.S. Patent No. 7,171,385
Date of Patent: January 30, 2007
Patentee: Algorithmics International Corp.
Title: SYSTEM AND METHOD FOR TRADING OFF PUT AND CALL VALUES OF A PORTFOLIO

In accordance with the provisions of 35 USC 255, the Patentee herein respectfully requests that a Certificate of Correction be issued for the above-identified Patent. The fee of $100.00 is included as detailed on the accompanying fee transmittal form.

Patentee hereby requests that the corrections be made as indicated on the attached form PTO/SB/44.

The amendments are made to correct errors introduced by the Patent and Trademark Office and to correct errors of a clerical or typographical nature, or mistakes of minor character. The corrections do not constitute new matter, and do not require reexamination.

Yours truly,

Kendrick Lo
Registration No. 54,948
/mes
Encl.

04/06/2007 MBERHE1 00000126 09718500
01 FC:1811 100.00 OP

04/06/2007 MBERHE1 00000127 7171385
01 FC:1811 100.00 OP

Scotia Plaza, 40 King Street West, 40th Floor, Toronto, Ontario, Canada M5H 3Y2
Tel: 416.364.7311 Fax: 416.361.1398 **www.bereskinparr.com**

APR 09 2007

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UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

It is certified that errors appear in the above-identified patent and that said Letters Patent are hereby corrected as shown below:

In Column 6, lines 35, 52, and 59 replace: "MtP" with --MtF--

In Column 11, line 29 replace: "MtP" with --MtF--

In Column 11, line 31 replace: "portfolio Liquidity" with --portfolio. Liquidity--

In Column 12, line 4 replace: "qi,qi" with --q_i, q_i--

In Column 13, line 10 replace: "$(x_a-x_b) \leq x_1 0$" with --$(x_a-x_b) \leq x_1 \leq 0$--

In Column 13, line 32 replace: "x_{i+J}" with --x_{i+1}--

In Column 13, line 49 replace: "maximize$_{(x,u,d)P}{}^{T}u$" with --maximize$_{(x,u,d)}p^{T}u$--

In Column 13, line 52 replace: "u-d-(M-rq$^{T)x=}$0 (π)" with --u-d-(M-rq^{T})x=0 (π)--

In Column 13, line 53 replace: "-x $\leq$ -x_L (α_L)" with -- -x $\leq$ -x_L (ω_L) --

In Column 13, line 54 replace: "x $\leq x_U$ (α_U)" with --x $\leq x_U$ (ω_U)--

In Column 16, line 41 replace: "minimize $_{(\mu,\pi,\alpha_L,\alpha_U)}$ $k\mu - (x_L)^T \alpha_L + (x_U)^T \alpha_U$" with --minimize $_{(\mu,\pi,\omega_L,\omega_U)}$ $k\mu - (x_L)^T \omega_L + (x_U)^T \omega_U$--

In Column 16, line 43 replace: "$\alpha_L . \alpha_U + (M^T - qr^T)\pi = 0$" with -- $\omega_L - \omega_U + (M^T - qr^T)\pi = 0$--

In Column 16, line 44 replace: "$p\mu - \pi \leq 0$" with -- $p\mu - \pi \geq 0$--

In Column 16, line 45 replace: "$\pi \leq p$" with -- $\pi \geq p$--

In Column 16, line 46 replace: "$\mu, =_L / \alpha_U \leq 0$" with -- μ, ω_L, $\omega_U \geq 0$--

In Column 16, line 49 replace: "$\lambda_j = p_j$" with -- $\pi_j = p_j$--

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Toronto, Ontario, M5H 3Y2, Canada

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CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

In Column 17, line 10 replace: "$(\omega_L)_i - (\omega_U)_i + \sum_{i=1}^{s}(M_{ji} - q_i r_j)\pi_j = 0$" with

--$(\omega_L)_i - (\omega_U)_i + \sum_{j=1}^{s}(M_{ji} - q_i r_j)\pi_j = 0$--

In Column 17, line 39 replace: "$f = \sum_{i=1}^{s}\pi_j$" with --$f = \sum_{j=1}^{s}\pi_j$--

In Column 17, line 45 replace: "$\frac{(\omega_L)_i}{f} - \frac{(\omega_U)_i}{f} + \sum_{i=1}^{s}(M_{ji} - q_i r_j)\rho_j = 0$" with

--$-\frac{(\omega_L)_i}{f} - \frac{(\omega_U)_i}{f} + \sum_{j=1}^{s}(M_{ji} - q_i r_j)\rho_j = 0$--

In Column 17, line 55 replace: "$E_\rho(v_{(j)}) = \sum_{i=1}^{s}(M_{ji} - q_i r_j)\rho_j$" with -- $E_\rho(V_{(i)}) = \sum_{j=1}^{s}(M_{ji} - q_i r_j)\rho_j$ --

In Column 19, line 15 replace: "over p" with --over ρ--

In Column 19, line 21 replace: "investor." with --investor).--

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PATENT NO : 7,171,385

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

In Column 19, line 34 replace: "$r_o\rho Tu - r_o\rho^T d = r_o\rho^T (M - rq^T)x$" with
--$r_o\rho^T u - r_o\rho^T d = r_o\rho^T (M - rq^T)x$--

In Column 19, line 38 replace: "$\pi^T (u - d - (M - rq^T)x) = 0$" with --$\pi^T (u - d - (M - rq^T)x) = 0$--

In Column 19, line 39 replace: "replace $M_{(i)}$" with --$M_{(i)}$--

In Column 20, line 66 replace: "It can b shown" with --It can be shown--

In Column 21, line 17 replace: "$(M^T - qr^T)\pi + \omega_{U-\omega L} = 0$" with --$(M^T - qr^T)\pi + \omega_U - \omega_L = 0$--

In Column 22, line 15 replace: "maximize $(x,u,d)p^T u$" with --maximize$_{(x,u,d)}p^T u$--

In Claim 13, line 51 replace: "maximize $(x,u,d)p^T d$" with –minimize$_{(x,u,d)}p^T d$--

In Claim 13, line 53 replace: "$p^T d \leq k$" with -- $p^T u \geq k$--

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APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

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In Column 13, line 32 replace: "x_{i+J}" with --x_{i+1}--

In Column 13, line 49 replace: "maximize$_{(x,u,d)P^T u}$" with --maximize$_{(x,u,d)p^T u}$--

In Column 13, line 52 replace: "u-d-(M-rq$^{T)x=}$0 (π)" with --u-d-(M-rq^T)x=0 (π)--

In Column 13, line 53 replace: "-x $\leq$ -x_L (α_L)" with -- -x $\leq$ -x_L (ω_L) --

In Column 13, line 54 replace: "x $\leq x_U$ (α_U)" with –x $\leq x_U$ (ω_U)--

In Column 16, line 41 replace: "minimize $_{(\mu,\pi,\alpha_L,\alpha_U)}$ $k\mu - (x_L)^T \alpha_L + (x_U)^T \alpha_U$" with

--minimize $_{(\mu,\pi,\omega_L,\omega_U)}$ $k\mu - (x_L)^T \omega_L + (x_U)^T \omega_U$--

In Column 16, line 43 replace: "$\alpha_L . \alpha_U + (M^T - qr^T)\pi = 0$" with -- $\omega_L - \omega_U + (M^T - qr^T)\pi = 0$--

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ISSUE DATE : January 30, 2007

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UNITED STATES PATENT AND TRADEMARK OFFICE
CERTIFICATE OF CORRECTION

PATENT NO : 7,171,385

APPLICATION NO. : 09/718,500

ISSUE DATE : January 30, 2007

INVENTOR(S) : Ron S. Dembo; and Helmut Mausser

In Column 19, line 34 replace: "$r_o\rho Tu - r_o\rho^T d = r_o\rho^T(M - rq^T)x$" with
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In Column 20, line 66 replace: "It can b shown" with --It can be shown--

In Column 21, line 17 replace: "$(M^T - qr^T)\pi + \omega_{U-\omega L} = 0$" with --$(M^T - qr^T)\pi + \omega_U - \omega_L = 0$--

In Column 22, line 15 replace: "maximize $(x,u,d)p^Tu$" with --maximize$_{(x,u,d)}p^Tu$--

In Claim 13, line 51 replace: "maximize $(x,u,d)p^Td$" with --minimize$_{(x,u,d)}p^Td$--

In Claim 13, line 53 replace: "$p^T d \le k$" with --$p^T u \ge k$--

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